



Federal Program Monitoring (FPM) Training

Early Education and Support Division

Fiscal Year 2014-15

CALIFORNIA DEPARTMENT OF EDUCATION

Tom Torlakson, State Superintendent of Public Instruction



TOM TORLAKSON
State Superintendent
of Public Instruction

Notification

A notification is sent to the district prior to the FPM review including:

- Dates of the review
- Sites that will be reviewed
- Reviewers
- Entrance Meeting time and place
- Exit Meeting

Note: Send the consultant an electronic copy of the Written Information for Parents (Parent Handbook)



TOM TORLAKSON
State Superintendent
of Public Instruction

Uploading in California Accountability and Improvement System (CAIS)

- 30 days prior to the FPM review upload documentation in CAIS for each item in the FPM instrument that applies to the district's contract types. (CCTR, CSPP etc.)
- Reviewer will start reviewing documentation and making comments in CAIS prior to the FPM visit.



TOM TORLAKSON
State Superintendent
of Public Instruction

During the Visit

The EESD Consultant will:

- Review Documents not posted in CAIS
- Conduct Classroom Observation(s)
- Debrief daily or as needed
- Review postings in CAIS
- Conduct Pre-exit meeting
 - Identify any findings
- Finalize report
- Conduct Exit Meeting for the district



TOM TORLAKSON
State Superintendent
of Public Instruction

After the Review

District will respond to any findings in the Summary of Findings Report

- Respond to Items not meeting requirements (if any) within 45 days of the review by uploading any new evidence for resolution in CAIS.
- The program reviewer will respond in CAIS to the new evidence within 15 calendar days.
- Consultant to clear item in CAIS.

Resolution Agreement

If the program cannot resolve items not meeting requirements within the 45 day period after the review, request a resolution agreement.



TOM TORLAKSON
State Superintendent
of Public Instruction

The Program Review Instrument

The FPM Compliance Monitoring Web Page provides access to CAIS and Fiscal Year (FY) 2014-15 Program Instruments at:

<http://www.cde.ca.gov/sp/cd/ci/#monitoring>



TOM TORLAKSON
State Superintendent
of Public Instruction

California Department of Education Program Key Dimensions

- I. Involvement
- II. Governance and Administration
- III. Funding
- IV. Standards, Assessment, and Accountability
- V. Staffing and Professional Development
- VI. Opportunity and Equal Educational Access
- VII. Teaching and Learning

19 total items for Early Education and Support Division, each item will list the contract types being monitored/reviewed.



TOM TORLAKSON
State Superintendent
of Public Instruction

Program Types

Include documentation for your contract/program type:

- CCTR – Center-Based (General Program)
- CFCC – Family Child Care Home
Educations Network Programs
- CHAN – Handicapped Program
- CMIG – Migrant Program
- CSPP – State Preschool Program
- CAPP – Alternative Payment Program
- CMAP – Migrant Alternative Payment Program
- C2AP – CalWORKS Stage - 2
- C3AP – CalWORKS Stage - 3



TOM TORLAKSON
State Superintendent
of Public Instruction

I. Involvement

EES 01: Plan for Parent Involvement

Compliance Indicators

I-EES 01. (CCTR, CSPP, CMIG, CHAN, CFCC)
There is a plan for parent involvement and education, including the sharing of program goals and structure with families. The program ensures that effective, two-way, comprehensive communication between staff and parents is carried out on a regular basis throughout the program year.

1.1. (CSPP Prekindergarten and Family Literacy contract) The contractor has developed interactive literacy activities in which the parents actively participate in facilitating the acquisition of pre-reading skills with their children through guided activities.



TOM TORLAKSON
State Superintendent
of Public Instruction

EES 01: Plan for Parent Involvement cont.

Online Review

- ☐ Parent orientation materials
- ☐ Parent education & involvement **plan**
- ☐ Parent advisory committee (PAC) agenda or minutes of meetings
- ☐ Notice of meetings, bulletins, and correspondence
- ☐ Open door policy statement
- ☐ Sample schedule of the parent and child interactive literacy activities (CSPP Prekindergarten and Family Literacy)
- ☐ Contractor interactive literacy component (CSPP Prekindergarten and family literacy)
- ☐ Other documents related to parent involvement

On-Site Review

- ☐ Completed Parent and Teacher conferences, or schedules of conferences

Observation

- ☐ Interactive literacy activities
- ☐ Environment Rating Scale

Dialogue

- ☐ Program Administrator
- ☐ Program staff

☐ **Meets requirements** ☐ **Does not meet requirements** ☐ **Not reviewed**



TOM TORLAKSON
State Superintendent
of Public Instruction

II. Governance & Administration

EES 02 : Family Eligibility Requirements

Compliance Indicators

II-EES 2. (CCTR, CSPP, CMIG, CHAN, CFCC, CAPP, CMAP, C2AP, C3AP) Families with children enrolled in the program have met the eligibility requirements of that contract, and the required documentation is complete.

- A family data file has been established for each family, including a completed application for services and supporting documentation.
- The contractor verifies the eligibility of each family or child within 30 days of a change in eligibility status or at intervals not to exceed 12 months.
- Part-day CSPP parents are to report changes in status within five (5) days.



TOM TORLAKSON
State Superintendent
of Public Instruction

EES 02: Family Eligibility Requirements cont.

Online Review

- ☐ Written materials for parents or other documentation



☐ Meets requirements

☐ Does not meet requirements

☐ Not reviewed

On-Site Review

- ☐ Parent policies
- ☐ CD 9600 Application for Services
- ☐ CD 9600A Privacy Notice and Consent Form
- ☐ Eligibility documentation
- ☐ Record of eligibility, residency and family size documentation

Dialogue

- ☐ Intake personnel
- ☐ Program Administrator
- ☐ Program staff



TOM TORLAKSON
State Superintendent
of Public Instruction

II. Governance & Administration

EES 03: Child Need Requirement Verification

Compliance Indicators

II-EES 3. (CCTR, CSPP, CMIG, CHAN, CFCC, CAPP, CMAP, C2AP, C3AP) With the exception of families enrolled in a part day CSPP, families with children enrolled in a contract have met the need requirements.

- Certified hours of child care correspond to the need of the parent/caretaker, as documented by the contractor.
- For all contracts with a need for service requirement, the contractor verifies the need of each family or child within 30 days of a change in need status or at intervals not to exceed 12 months.

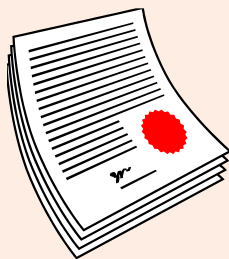


TOM TORLAKSON
State Superintendent
of Public Instruction

EES 03: Child Need Requirement Verification cont.

Online Review

- ☐ Written materials for parents or other documentation
- ☐ Written procedures



On-Site Review

- ☐ Completed Application - CD 9600
- ☐ Completed CD 9600A
- ☐ Documentation and evidence of verification of Need for Services
- ☐ Parental Release

☐ Meets requirements

☐ Does not meet requirements

☐ Not reviewed



TOM TORLAKSON
State Superintendent
of Public Instruction

II. Governance & Administration

EES 04: Recording and Reporting Attendance

Compliance Indicators

II-EES 4. (CCTR, CSPP, CMIG, CHAN, CFCC)

The program has adopted policies and procedures for recording and reporting attendance that are consistent with:

- a. The certified hours of enrollment that are established for the parent/caretaker
- b. Statutes and regulations on excused and unexcused absences
- c. Regulations regarding documentation of attendance



TOM TORLAKSON
State Superintendent
of Public Instruction

EES 04: Recording and Reporting Attendance cont.

Online Review

- ☐ Contractor's excused/unexcused absence policy



On-Site Review

- ☐ Written materials for parents
- ☐ Daily attendance registry, daily sign-in/out sheets

Dialogue

- ☐ Attendance Clerk
- ☐ Parents

☐ Meets requirements ☐ Does not meet requirements ☐ Not reviewed



TOM TORLAKSON
State Superintendent
of Public Instruction

II. Governance & Administration

EES 05: Correct Fee Assessed

Compliance Indicators

II-EES 5. (CCTR, CSPP, CMIG, CFCC, CAPP, CMAP, C2AP, C3AP) Families with children enrolled are assessed the correct fee according to the current Family Fee Schedule issued by the California Department of Education with the exception of families certified in a part-day/part-year CSPP or CHAN program.





TOM TORLAKSON
State Superintendent
of Public Instruction

EES 05: Correct Fee Assessed cont.

Online Review

- ☐ Policies and procedures for family fee collection

On-Site Review

- ☐ Family data file
- ☐ Receipt records of fee collection

Dialogue

- ☐ Program fiscal personnel

☐ Meets requirements ☐ Does not meet requirements ☐ Not reviewed



TOM TORLAKSON
State Superintendent
of Public Instruction

II. Governance & Administration

EES 06: Inventory Records

Compliance Indicators

II–EES 6. (CCTR, CSPP, CMIG, CHAN, CFCC, CAPP, CMAP, C2AP, C3AP) For all categorical programs, the local agency maintains an inventory record for each piece of equipment, with an acquisition cost of \$500 or more per unit, that is purchased with state and/or federal funds. The record describes the acquisition by:

- Type
- Model
- Serial number
- Funding source
- Acquisition date
- Cost
- Location
- Current condition
- Transfer, replacement, or disposition of obsolete or unusable equipment

6.1. The contractor has conducted a physical check of the inventory of equipment within the past two years and has reconciled the result with inventory records.



TOM TORLAKSON
State Superintendent
of Public Instruction

EES 06: Inventory Records cont.

EES form 8604 recommended but not required.

- ☐ Inventory Records
- ☐ 6.1: Evidence of physical check of inventory

☐ Meets requirements ☐ Does not meet requirements ☐ Not reviewed



TOM TORLAKSON
State Superintendent
of Public Instruction

II. Governance & Administration

EES 07: Alternative Payment Policies

Compliance Indicators

II-EES 7. (CAPP, CMAP, C2AP, C3AP) The provider and eligible parents are given information regarding alternative payment policies, procedures, and regulations. The contractor sets forth the basis of provider participation, scheduled provider payments, informed parental choice, and the rights and responsibilities of parents.



TOM TORLAKSON
State Superintendent
of Public Instruction

EES 07: Alternative Payment Policies cont.

Required and Associated Documents

- ☐ EESD written materials for parents
- ☐ Grievance procedures
- ☐ Policies and procedures for provider participation and written materials for providers

☐ Meets requirements

☐ Does not meet requirements

☐ Not reviewed



TOM TORLAKSON
State Superintendent
of Public Instruction

IV. Standards, Assessment, and Accountability

EES 08: Desired Results Profile and Data

Compliance Indicators

IV-EES 8. (CCTR, CSPP, CMIG, CHAN, CFCC) The program maintains the Desired Results Developmental Profile – 2010 (DRDP-2010) and Desired Results parent survey data for children and families. The program uses the information to plan and conduct age and developmentally appropriate activities and to monitor family involvement and satisfaction.



TOM TORLAKSON
State Superintendent
of Public Instruction

EES 08: Desired Results Profile and Data cont.

Online Review

- ☐ Desired Results Developmental Profile
Summary of findings for classroom and family child Care Home (4001B)
- ☐ Sample group data summary
- ☐ Summary of parent survey
- ☐ Schedule of Parent/Teacher conferences
- ☐ Annual Program Self Evaluation

On-Site Review

- ☐ Completed DRDP 2010
- ☐ Program activity plans
- ☐ Child portfolios
- ☐ Completed Parent/Teacher conference form

Observation

- ☐ Classroom
- ☐ Outdoor play area

Interviews

- ☐ Program Administrator
- ☐ Program staff
- ☐ Parents

☐Meets requirements ☐Does not meet requirements ☐Not reviewed



TOM TORLAKSON
State Superintendent
of Public Instruction

IV. Standards, Assessment, and Accountability

EES 09: Annual Evaluation Plan

Compliance Indicators

IV-EES 9. (CCTR, CSPP, CMIG, CHAN, CFCC, CAPP, CMAP, C2AP, C3AP) The program has developed and implemented an annual evaluation plan that addresses any areas identified during the self-evaluation as needing improvement.



TOM TORLAKSON
State Superintendent
of Public Instruction

EES 09: Annual Evaluation Plan cont.

Online Review

- ☐ Annual Program Self Evaluation - CD 4000 and CD 4001A
- ☐ Documented program goals/objectives
- ☐ Implementation/follow-up of program action plan
- ☐ Evidence of Program Action Plan follow-up
- ☐ Parent Survey Summary of Findings-CD 4003

On-Site Review

- ☐ Classroom group data summary
- ☐ DRDP Summary of Findings
- ☐ Summary of Findings for the age appropriate Environment Rating Scale
- ☐ Evidence data is being used for planning

Observation

- ☐ Classroom
- ☐ Outdoor play area

Dialogue

- ☐ Program Administrator
- ☐ Program staff that completed the Self-Evaluation

☐ **Meets requirements** ☐ **Does not meet requirements** ☐ **Not reviewed**



TOM TORLAKSON
State Superintendent
of Public Instruction

IV. Standards, Assessment, and Accountability

EES 10: Site Licensure

Compliance Indicators

IV-EES 10. (CCTR, CSPP, CMIG, CHAN, CFCC)
Each site has a current license issued by the authorized licensing agency unless the site is exempt from licensure.

- 10.1. Sites that are exempt from licensure meet health and safety standards.
- 10.2. Children receive health screening and immunizations.
- 10.3. Parents have access to their children and the caregivers during normal hours of operation.



TOM TORLAKSON
State Superintendent
of Public Instruction

EES 10: Site Licensure cont.

Online Review

- ☐ Copy of each site's license
- ☐ Current license receipt
- ☐ Issued licensing citations
- ☐ Written policies regarding parental access

On-Site Review

- ☐ Children's immunization records

Observation

- ☐ Classroom
- ☐ Outdoor play area
- ☐ If exempt from licensure, observe:
 - Health and Safety standards
 - Health screening

☐Meets requirements ☐Does not meet requirements ☐Not reviewed



TOM TORLAKSON
State Superintendent
of Public Instruction

V. Staffing and Professional Development

EES 11: Staff Development Program

Compliance Indicators

V-EES 11. (CCTR, CSPP, CMIG, CHAN, CFCC)
The program has developed and implemented a staff development component.



TOM TORLAKSON
State Superintendent
of Public Instruction

EES 11: Staff Development Program cont.

Online Review

- ☐ Written Staff development plan linked to annual Self-Evaluation
- ☐ Documentation of the implemented staff development
- ☐ Notes, meeting minutes, or participant sign-in sheets for staff development sessions
- ☐ Sample of written job descriptions
- ☐ Developmentally appropriate assessments of pre-reading skills (CSPP Prekindergarten Literacy contract)
- ☐ Instructional strategies (CSPP Prekindergarten Literacy contract)

On-Site Review

Dialog

- ☐ Program Administrator
- ☐ Program staff



☐ **Meets requirements** ☐ **Does not meet requirements** ☐ **Not reviewed**



TOM TORLAKSON
State Superintendent
of Public Instruction

V. Staffing and Professional Development

EES 12: Qualified Staff and Director

Compliance Indicators

V-EES 12. (CCTR, CSPP, CMIG, CHAN) All program staff are qualified for the position held. Each program operating two or more sites has a qualified program director. Each program with more than one site has a qualified site supervisor at each site. Each site has qualified teachers.



TOM TORLAKSON
State Superintendent
of Public Instruction

EES 12: Qualified Staff and Director cont.

Online Review

- ☐ Current Personnel roster by position held
- ☐ Form CD 3701B

On-Site Review

- ☐ Copy of current permits/credentials/temporary certificate or CDD approved site supervisor and /or program director waiver

☐ Meets requirements ☐ Does not meet requirements ☐ Not reviewed



TOM TORLAKSON
State Superintendent
of Public Instruction

V. Staffing and Professional Development

EES 13: Staff-Child Ratios

Compliance Indicators

V-EES 13. (CCTR, CSPP, CMIG, CHAN) The applicable staff-child ratios are met for each age group and program.



TOM TORLAKSON
State Superintendent
of Public Instruction

EES 13: Staff-Child Ratios cont.

Online Review

- ☐ Completed Staff to Child Ratio Schedule
 - ✓ Form CD 3705
- ☐ Personnel Rosters for each classroom

On-Site Review

Observation

- ☐ Classroom
- ☐ Lunch room
- ☐ Bathroom or diapering area
- ☐ Outdoor area

Dialog

- ☐ Program Administrator
- ☐ Program staff

☐ Meets requirements ☐ Does not meet requirements ☐ Not reviewed



TOM TORLAKSON
State Superintendent
of Public Instruction

VI. Opportunity and Equal Educational Access

EES 14: Family Selection

Compliance Indicators

VI-EES 14. (CCTR, CSPP, CMIG, CHAN, CFCC, CAPP, CMAP) Families with children enrolled in the programs are selected according to the priorities of that program.



TOM TORLAKSON
State Superintendent
of Public Instruction

EES 14: Family Selection cont.

Online Review

- ☐ Notification to parents of enrollment priorities
- ☐ Records of use of Contractor Waiting List

On-Site Review

- ☐ The family eligibility information of the most recently enrolled families
- ☐ Review Waiting List

Dialogue

- ☐ Program Administrator
- ☐ Intake personnel

☐ Meets requirements ☐ Does not meet requirements ☐ Not reviewed



TOM TORLAKSON
State Superintendent
of Public Instruction

VI. Opportunity and Equal Educational Access

EES 15: Compliance with Due Process

Compliance Indicators

VI-EES 15. (CCTR, CSPP, CMIG, CHAN, CFCC, CAPP, CMAP, C2AP, C3AP) The contractor complies with the program's due process requirements, including (1) providing parents with written information regarding their responsibility to comply with program rules, (2) issuing a Notice of Action where appropriate (e.g. late three times – NOA needed), and (3) establishing procedures for parental appeal of any contractor's decision contained in the notice of action.



TOM TORLAKSON
State Superintendent
of Public Instruction

EES 15: Compliance with Due Process cont.

Online Review

- ☐ Written materials for parents
 - Grievance
 - Uniform Complaint Procedures
 - Harassment Policies
 - Weapons and Drug Policies
- ☐ Copy of current blank Notice of Action
- ☐ Parent appeal procedures

On-Site Review

- ☐ Completed Notices of Action
- ☐ Sample of recent parent appeals

Dialogue

- ☐ Program Administrator
- ☐ Appeals Officer

☐Meets requirements ☐Does not meet requirements ☐Not reviewed



TOM TORLAKSON
State Superintendent
of Public Instruction

VI. Opportunity and Equal Educational Access

EES 16: Refrain from Religious Instruction

Compliance Indicators

VI-EES 16. (CCTR, CSPP, CMIG, CHAN, CFCC)

The program refrains from religious instruction and worship.



TOM TORLAKSON
State Superintendent
of Public Instruction

EES 16: Refrain from Religious Instruction cont.

Online Review

- ☐ Written materials to parents

On-Site Review

Observation

- ☐ Classroom
- ☐ Lobby area postings
- ☐ Any postings or information for parents, providers, and public that program refrains from religious instruction and worship

☐ Meets requirements

☐ Does not meet requirements

☐ Not reviewed



TOM TORLAKSON
State Superintendent
of Public Instruction

VI. Opportunity and Equal Educational Access

EES 17: Services Responsive to Family Needs

Exclusive to Resource and Referral contracts

Compliance Indicators

VI-EES 17. (CRRP) The Contractor provides services that are responsive to the diverse cultural, linguistic, and economic needs of the geographic area of service.

17.1 The contractor has developed written referral policies that are available to parents and providers on request and has implemented the written complaint procedures.

17.2 The contractor has developed and implemented procedures to provide subsidy and potential subsidy families with informed parental choice and has a comprehensive list of local providers and programs for offering choice.



TOM TORLAKSON
State Superintendent
of Public Instruction

EES 17: Services Responsive to Family Needs cont.

Online Review

- ☐ CRRP contractor written referral policy

On-Site Review

- ☐ Examples of outputs from database or information systems
- ☐ Talking point or recording used
- ☐ Licensing citations log

☐ Meets requirements ☐ Does not meet requirements ☐ Not reviewed



TOM TORLAKSON
State Superintendent
of Public Instruction

VII. Teaching and Learning

EES 18: Environment Rating Scale

Compliance Indicators

VII-EES 18. (CCTR, CSPP, CMIG, CHAN, CFCC)
The program shall complete an Environment Rating Scale to measure program quality for the appropriate age group and setting, and shall achieve a rating of “Good”, defined as scoring at least an average of 5.0 on each subscale of the Environment Rating Scale.



TOM TORLAKSON
State Superintendent
of Public Instruction

EES 18: Environment Rating Scale cont.

Online Review

- ☐ Completed Environment Rating Scale (ERS) Summary documents
- ☐ ERS Summary of Findings-form CD 4002

On-Site Review

- ☐ Completed age appropriate Environment Rating Scale

Observation

- ☐ Classroom

Dialogue

- ☐ Program Administrator
- ☐ Program staff

☐ Meets requirements ☐ Does not meet requirements ☐ Not reviewed



TOM TORLAKSON
State Superintendent
of Public Instruction

VII. Teaching and Learning

EES 19: Nutritional Needs

Compliance Indicators

VII-EES 19. (CCTR, CSPP, CMIG, CHAN, CFCC)
The program provides for the nutritional needs of children in attendance.



TOM TORLAKSON
State Superintendent
of Public Instruction

EES 19: Nutritional Needs cont.

Online Review

- ☐ Menu for current month
- ☐ Written contractor policies on meals/snacks

On-Site Review

- ☐ List of children with any food allergies

Observation

- ☐ Mealtime
- ☐ Snack time

Dialogue

- ☐ Program Administrator
- ☐ Program staff

☐ **Meets requirements** ☐ **Does not meet requirements** ☐ **Not reviewed**



TOM TORLAKSON
State Superintendent
of Public Instruction

Quick tips

Use available resources:

- Consultant
- Ask Questions
- MB FAQs
- Review Instrument
- Funding Terms & Conditions
- Federal Register, Ed Code, Title 5
- WestEd (DRDP Profile)
- CPIN etc.... (Teacher Trainings)



TOM TORLAKSON
State Superintendent
of Public Instruction

Resources

DRDP Tech

<http://www.desiredresults.us>

California Preschool Instructional Network
(CPIN)

<http://www.cpin.org>

WestEd.

<http://www.wested.org>

Consultant List

<http://www.cde.ca.gov>



Questions?

Contact your assigned Field Services Consultant

<http://www.cde.ca.gov/sp/cd/ci/assignments.asp>

916-322-6233 EESD main line

CALIFORNIA DEPARTMENT OF EDUCATION

Tom Torlakson, State Superintendent of Public Instruction